



Homeland Security Exercise and Evaluation Program (HSEEP)

Compliance Job Aid

What is HSEEP?

The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities- and performance-based exercise program that was developed to provide common exercise policy and program guidance that constitutes a national standard for exercises. HSEEP is designed to be adaptable to any exercise program, regardless of the nature and composition of its sponsoring agency or organization, and to the full spectrum of exercise scopes and scenarios. This includes consistent terminology, design process, evaluation tools, and documentation standards. HSEEP reflects community best practices as well as lessons learned from previous and existing exercise programs. More information is available at <http://hseep.dhs.gov>.

What is HSEEP Compliance?

HSEEP compliance is defined as adherence to specific processes and practices for exercise program management and exercise design, development, conduct, evaluation, and improvement planning. Four specific performance requirements are established in the HSEEP Policy and Guidance documentation:

1. **Conduct an annual Training and Exercise Planning Workshop (TEPW), and maintain a Multiyear Training and Exercise Plan (TEP).** An annual TEPW provides an opportunity to develop, review, or update an entity's Multiyear TEP. The TEPW also provides a forum for determining how an entity will execute its multiyear plan in a given year. The purpose of the TEPW and the Multiyear TEP is to translate strategic goals and priorities into specific training and exercise activities and to coordinate and deconflict all training and exercise activities on a schedule. While all exercises conducted by an entity are not required to be included in its Multiyear TEP, the entity should follow the guidance and priorities established during its TEPW.
2. **Plan and conduct exercises in accordance with the guidelines set forth in HSEEP policy.** HSEEP policy guidance includes an overview of exercise planning and conduct. Specific areas for compliance include the use of various types of planning conferences and exercise documentation. The number of conferences and types of documentation required are flexible and depend on the full scope of the exercise being completed. HSEEP also provides sample documents for all potential presentations and manuals for all types of exercises.
3. **Develop and submit a properly formatted After Action Report/Improvement Plan (AAR/IP).** An AAR/IP is used to capture events as they occurred during an exercise, provide analysis of the events relative to exercise objectives, and suggest development actions to either further enhance or improve agencies' planning and response capabilities. It also evaluates achievement of the selected exercise objectives and demonstration of the overall capabilities being validated. The IP portion of the AAR/IP includes corrective actions for improvement, along with timelines for their implementation and assignment to responsible parties.
4. **Track and implement corrective actions identified in the AAR/IP.** Once recommendations, corrective actions, responsibilities, and due dates are identified in the IP, the exercising entity ensures that each corrective action is tracked to completion. Exercising entities review all exercise evaluation feedback and resulting IPs to assess progress on enhancing preparedness. This analysis and information are incorporated into the capabilities-based planning process because they may identify needs for additional equipment, training, exercises, coordination, plans, or procedures that can be validated through future exercises. Continual IP tracking and implementation should be part of a corrective action program within each participating entity.



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HSEEP Compliance Guidance Checklist

The following checklist can be used to assist jurisdictions and agencies in planning, developing, and completing their exercises in line with HSEEP initiatives and processes. Use of this checklist is **NOT** a requirement for compliance of State grant funds programs, nor should it be submitted to the National Exercise Division. It is merely a tool to help agencies plan and conduct exercises within the intent of HSEEP policy.

Exercise Name: _____

Lead Jurisdiction/Agency: _____

Scheduled Conduct Date: _____

- ☐ Exercise is listed on current jurisdiction/agency Multiyear Training and Exercise Plan (TEP).
- ☐ Exercise is aligned with specific target capabilities (or agency mission areas) listed below:
 - ☐ _____
 - ☐ _____
 - ☐ _____
 - ☐ _____
 - ☐ _____
- ☐ Exercise planning schedule is set using HSEEP suggested guidelines as listed below:
 - ☐ Initial Planning Conference Date: _____
 - ☐ Midterm Planning Conference Date: _____
 - ☐ Master Scenario Events List (MSEL) Conference Date: _____
 - ☐ Final Planning Conference Date: _____
 - ☐ After Action Conference Date: _____
- ☐ Exercise objectives are designed to support demonstration of selected capabilities.
- ☐ Exercise evaluation is designed to validate achievement of objectives.
- ☐ After Action Report/Improvement Plan (AAR/IP) is completed and accurately captures written analysis of exercise events as they pertain to meeting objectives.
 - ☐ IP elements are assigned to knowledgeable points of contact with realistic timeframes for action and implementation.
- ☐ Final AAR/IP posted to appropriate program portal within timeline guidance.
- ☐ IP completion is coordinated with Multiyear TEP revision to provide input on future exercise capability validations.



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